

Efficient Appraisal Techniques

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Joseph F. Morin (jfmorin@isd-inc.com)
Integrated System Diagnostics, Inc.
P.O. Box 3440
889 Shore Road
Pocasset, MA 02559
<http://www.isd-inc.com>
A Software Engineering Institute Transition Partner

Topics

- Identifying and inventorying preliminary Objective Evidence (including written affirmations) during planning and preparation
- Examining, analyzing and characterizing Objective Evidence
- Establishing and maintaining a shared understanding of facts
- Producing results through continuous refinement of initial practice instantiation “observations” and OU practice characterization “findings”
- Considerations for tools to support the Appraisal Team

■ Inventory of OE (Artifacts):

- ◆ Largely a side-effect of process monitoring and improvement activities (e.g., OPF/D, IPM, PPQA and M&A)
- ◆ Multi-pass process:
 - ◆ start early (during requirements analysis)
 - ◆ make incremental progress (throughout planning and preparation)
- ◆ Getting what you need:
 - ◆ See what's available and then specify and explain AT needs
 - ◆ Ask for & help identify more (coverage, specificity) as needed
 - ◆ Negotiate form and/or labor for transformation
- ◆ Desirable attributes:
 - ◆ Title and “abstract”
 - ◆ Indication of specific relevance of particular content
 - ◆ Identification as a direct work product or indirect by-product of the process (done by Provider or by TM performing review)

■ Inventory of OE (Written Affirmations):

- ◆ Why?
 - ◆ Can be used to help interpret the artifacts and confirm their use
 - ◆ Input to “Triage”
- ◆ How much detail?
 - ◆ Not “Yes or No” , Not “War and Peace”
 - ◆ A few sentences or a short paragraph including appropriate reference to the identified artifacts
- ◆ Collected for which model components?
 - ◆ Practices / Goals / PAs / groups of PAs
- ◆ Credibility / Usefulness?
 - ◆ Maintain traceability to providers of affirmations
 - ◆ Obtain “certification” by responsible management

Analyzing Objective Evidence

- Preliminary Review Analysis:
 - ◆ Determine sufficient coverage of appraisal scope (model and organization)
 - ◆ Determine appropriateness / reasonableness of model relevance
 - ◆ Use multi-pass approach involving team members and data providers
- Subsequent Content Examination Analysis:
 - ◆ Consistent with OSP and PDP?
 - ◆ Evidence of particular outputs / attributes expected from practice instantiation?
 - ◆ Indications a particular strength, weakness, or missing attribute?
 - ◆ Record the facts supporting your conclusions and assertions!
- Drawing Conclusions and Reaching Consensus
 - ◆ Remember the “Big Picture” (Organization’s coherent process context)
 - ◆ Cite specific basis or issue supporting strong, compliant, weak, or missing
 - ◆ Avoid judgments based upon personal preferences or notions of “goodness”
 - ◆ Ready access to TM analyses and actual artifacts during AT consensus

Maintaining Consensus on Facts

■ Memory fades quickly

- ◆ Establish and record the facts immediately; Interpret subsequently
- ◆ Avoid recording premature inferences and judgments in place of facts

■ Use the collective power of your team / mini-team

- ◆ People hear and see things differently
- ◆ Review and discuss the facts immediately after “examining” the OE
 - ◆ By mini-team for documents
 - ◆ By all TMs involved in interviews or presentations and demos
- ◆ Update the recorded “facts” accordingly

■ Status the Data Collection Plan

- ◆ Are the facts SUFFICIENT to draw conclusions concerning the model or organizational component under investigation?
- ◆ Do the facts support or conflict with conclusions concerning other model or organizational components?

Results Through Refinement

- Continuous refinement of initial placeholders
 - ◆ Maintain a focus on the Team's primary output
 - ◆ Use consistent style & terminology; Be accurate and precise
 - ◆ Establish rules and or assign a primary editor
 - ◆ Spend effort consistent with expected value to sponsor
 - ◆ Push back wording refinement to TM, MT or "Editor" role
- Practice Instantiation "Observation"
 - ◆ As OE is reviewed and processed by TM, MT, or AT
 - ◆ What does the OE support or refute in terms of expected practice implementation
- OU Practice Characterization "Finding"
 - ◆ As Practice instantiations are characterized by TM or MT and accepted by AT.
 - ◆ What can be concluded from the instantiations about the state of practice implementation across the Organizational Unit

- Easy Access to the Reference Model
- Easy Access to Objective Evidence and TM analyses
 - ◆ Multidimensional space! Various types of “filtering” or “views” desirable
 - ◆ OE X Type X Provider X Practice X OU Component X TM(s)
- Facilitate Recording and Monitoring AT Status
 - ◆ Coverage (Model and OU), Corroboration (OE Types and Providers), Conclusions, Characterizations, Ratings, Consensus, Information Needed and Information Sources
- Facilitate Producing AT Outputs
 - ◆ Findings, Ratings, “Appraisal Record” and supporting AT artifacts
- Various Solutions
 - ◆ LA Kit Templates, Softcopy of model
 - ◆ Home grown spreadsheets, workbooks, databases
 - ◆ COTS Tools (e.g., Appraisal Wizard®)